

# State of Tennessee Department of Workforce Services

EY LWDA Assessment

July 19, 2019

Draft





Deputy Commissioner Deniece Thomas  
Tennessee Department of Labor & Workforce Development  
220 French Landing Drive  
Nashville, TN 37243

Dear Deputy Commissioner Thomas,

In connection with the agreed-upon services outlined in the contract between the Tennessee Department of Labor & Workforce Development (DOL) and Ernst & Young LLP (EY) effective January 21, 2019, EY ("we") has completed an independent assessment of the Workforce Development System's organizational structure and operating model. The primary objective of our review was to assess strengths and weaknesses of the current organizational structure, review roles and responsibilities of current staff, review operational policies and procedures, review design of certain key controls, assess the State's current performance monitoring capabilities and identify opportunities to improve processes via automation. In conjunction with this engagement, we will provide separate reports associated with each Local Workforce Development Area (LWDA). This report is a summary of our results of reviewing all LWDAs.

Our work has been limited in scope and time and we would like to emphasize that more detailed procedures may reveal items that this assessment did not identify. The procedures summarized in the following report do not constitute a comprehensive audit or other form of assurance in accordance with any generally accepted auditing, review or other assurance standards. Accordingly, we do not express any form of assurance related to the operating effectiveness of controls identified.

The attached report is intended solely for the use of the DOL and is not intended to be used by anyone other than these specified parties. We acknowledge and appreciate the assistance provided by DOL to complete this assessment.

Please contact Chris Ward (404 817 5666) or Kenny Clark (615 743 9518) if you have any questions regarding this report.

Yours sincerely,

< <INSERT EY SIGNATURE FOR FINAL REPORT> >

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# Summary of recommendations

Key area	High level summary
Strategy	We recommend defining the timeline for creating the Local and Regional Plans at least three months in advance. This will allow for areas to obtain input from all key stakeholders while still allowing areas to continue focusing on serving the people of Tennessee. We also recommend assigning responsibility for driving technological and other innovative enhancements at each area.
Roles and responsibilities	We recommend the State provide LWDAs with High-Performing Team guidance and activities. We recommend providing reference guides for CLEOs and Board members to help them understand the State's vision of the role. Additionally, we recommend the State provide guidance to the Executive Directors and Regional Directors on how to best work together, and comparing the optimal RACI (Appendix B) to RACIs from the individual sprint reports to identify gaps in knowledge and understanding.
Organizational structure	We recommend that the State analyze the various organizational structures related to the LWDA administrative entities. We also recommend procuring for the OSO and CSP to ensure requirements and expectations are clearly documented and understood upfront.
Local board performance management	We recommend operationalizing the strategic plan by developing metrics from the plan to be measured through this process. We also recommend utilizing a dashboard approach to presenting to the Board and creating a reference document including the definition of all key performance indicators/key metrics so it is clear to those trying to interpret what the data being presented means.
Monitoring	We recommend the State update their monitoring policy to include minimum requirements for LWDAs. Monitoring performed should then align with those policies.
Procurement	Leading practices such as blind scoring should be adopted by all nine areas. We also recommend the OSO and the CSP be procured separately, or clearly documenting expectations of each contracted provider in that RFP.
Communication and training	The State should consider developing a Customer Experience Strategy and Road Map to better align activities to customer needs. We also recommend the State provide LWDAs further guidance to better understand the appearance of conflict of interest provision in the firewall to ensure compliance with the firewall but also to minimize inefficiencies in communication.
Technology	Recommendations to VOS include defining a system "champion" available to answer questions, developing report templates to be used across the state and providing a report key to the areas. Additionally, we recommend reviewing the feasibility of integrating VOS with Grants4TN and considering the implementation of chat bots to assist customers with their initial data entry.
Automation and innovation	We have identified several opportunities throughout the engagement. We believe there is a potential use case for each of these as they will increase the quality of the specific task and free up resources to focus on better serving the people of Tennessee. The State should consider working through "quick-win" automation opportunities to show return on investment for further innovation.

## Detailed observations and recommendations

# Strategy

Local Plans vary in level of detail and articulation of LWDA vision, mission, strategic areas and implementation strategies. Some LWDAs have a collaborative effort with key stakeholders to develop the Local Plan; however, all LWDAs lack a comprehensive road map detailing strategy implementation.

	Summary of observations	Recommendations
Local Plan	<p>LWDA stakeholders involved in drafting the Local Plans noted the development process was challenging due to the short turnaround and deadlines. Activities including market research, stakeholder participation and engagement, public comment, and extensive review and feedback from several key LWDA stakeholders were condensed to a few weeks and performed during the holiday season. Local Plan instructions were difficult to follow as noted by LWDAs' first plans consistently being rejected or at best approved with conditions. Finally, some resentment was noted as LWDAs were verbally informed before meetings that their plans would not be approved, however were asked to present anyway in a public forum.</p> <p>The level of input and engagement of key stakeholders such as Board members, CLEO, Regional Director and Board Chair in the plan development process varied across LWDAs. Local Plans were drafted by Board Staff members and then reviewed by key stakeholders. Some key stakeholders had a deep understanding of the strategic focus areas for the area and the region and were actively part of the Local Plan development process. However, most stakeholders felt rushed, mentioning that the tight deadlines prevented them from having their desired level of involvement.</p>	<p>We recommend the State define timelines for administrative requirements of each LWDA (i.e., Local Plans and Regional Plans) as far in advance as possible to allow each LWDA adequate time to balance these requirements with serving participants. Additionally, the State should provide Q&amp;A sessions or a similar forum (i.e., WebEx session, chat bot) prior to submission of the plans to increase the likelihood that Local Plans will be approved upon the first draft, reducing the amount of time spent on activities that do not directly impact the AJC participants.</p> <p>We recommend obtaining input from the following internal and external stakeholders: CLEO and LEOs, Executive Director, Regional Director, Board Chair, LWDA Board Committees, core and non-core AJC partners, the local business community and local community partners.</p> <p>We recommend hosting several meetings to allow stakeholders opportunity to participate in the identification process and to reach the desired level of stakeholder engagement. The Board Staff should consolidate input to develop a short list of opportunities aligned with associated LWDA strategic focus areas. We recommend the LWDB review the short list and prioritize opportunities to develop initiatives required to deliver against LWDA strategic areas. Prioritized initiatives should be categorized based on impact and time/effort to implement. There should be a range of initiatives that address both short-term and long-term needs, outlining both "quick wins" and "long-term initiatives" (see Appendix A for an implementation road map example). Consider leveraging the initiatives developed by LWDA stakeholders during the TN DOL Workshop to provide LWDAs with initiatives that can be carried across all LWDAs.</p>

# Strategy

	Summary of observations	Recommendations
Strategy implementation road map	There is no formal structure in place to operationalize LWDA strategic goals. All Local Plans lack a defined road map to achieve those goals as documented within the plan itself. LWDAs lack formalized and defined parameters and mechanisms to track strategic initiatives and activities which include milestones, activities, activity owners, dependencies and timeline. A road map will increase accountability and keep key stakeholders aligned, committed and engaged.	<p>We recommend LWDAs implement a road map to help operationalize their strategic initiatives. After the LWDB aligns on short-term and long-term initiatives to pursue, the Board Staff should develop key milestones and dates to track activities and validate progress of those initiatives. The implementation road map should include the following:</p> <ul style="list-style-type: none"> <li>• Work plans</li> <li>• Activities</li> <li>• Activity owner(s) and resource requirements</li> <li>• Milestones</li> <li>• Interdependencies</li> <li>• Sequencing</li> <li>• Costs</li> <li>• Timing</li> </ul> <p>We recommend that LWDAs implement a method of formally tracking progress of the road map through a defined repeatable process such as a recurring line item on the agenda for Board meetings. Strategic initiative status reviews should take place during Board meetings and with all involved stakeholders on a quarterly basis, at a minimum.</p>
Strategy enabling technology	LWDAs primarily use technology for participant case management, to track partner referrals, to share information across AJC partners, and as a tool to provide access to and build awareness of AJC services. Although all LWDAs outlined the role of technology in their respective Local Plans, they did not define activities to enable the role, nor a responsible party to execute those activities.	We recommend each LWDA identifies a responsible party to recognize and drive innovative technology improvements that will enable the achievement of their strategic goals. The individual should have significant authority to positively effect change and an outlet (i.e., Board meetings) to present on current status of initiatives as well as discuss and receive approvals for new initiatives.



# Roles and responsibilities

Role responsibilities of key LWDA stakeholders are documented and defined across all LWDAs; however, roles are not consistently performing activities as defined. This is a result of a general lack of understanding of responsibilities, lack of trust, unwillingness to give up control over responsibilities held before realignment and overstepping of roles.

	Summary of observations	Recommendations
Unwillingness to give up control over pre-alignment responsibilities	<p>There is an unwillingness by several key stakeholders to give up control over responsibilities held before realignment. When WIOA instituted firewalls to prevent conflicts of interest, it mandated that no single entity may perform functions above and below the firewall (both administration and service delivery). This required some long-standing Executive Directors to no longer be involved in service delivery below the firewall and operate above the firewall. Some Executive Directors have a high level of influence over previous and shared responsibilities which results in an unwillingness to give up control over these duties. This situation hinders collaboration, communication and delegation of authority and decision-making with other key stakeholders, particularly with Regional Directors.</p> <p>In most LWDAs, Regional Director responsibilities and accountabilities are not clearly understood by key LWDA stakeholders, specifically with tasks shared with the Executive Director/Board Staff members. Although Regional Director responsibilities are documented on their position description, these are highlevel, which allows for broad interpretation. This situation, along with Board Staff unwillingness to give up control over shared responsibilities, leads to general confusion on division of responsibilities, misunderstanding of Regional Director role purpose and lack of communication. This hinders effective oversight and ability for LWDA to provide efficient administrative operations as the LWDA system continues to demand value-add operations.</p>	<p>We recommend the State compare the results of the LWDA optimal RACI document (refer to Appendix B), which is compliant with the firewall, to the individual LWDA RACIs. This exercise is to capture the activities Board Staff members are performing that are not a role responsibility or are a shared responsibility. This will provide an opportunity for the State to clarify unclear interdependencies, gaps in accountability and segregation of responsibility among roles with similar accountabilities.</p> <p>We recommend the State provide guidance to Executive Directors and Regional Directors on the expected level of communication and collaboration to enable an optimal working relationship. This guidance should include recommended activities that foster an environment of collaboration, open communication and transparency among both roles.</p>

# Roles and responsibilities

	Summary of observations	Recommendations
Lack of trust of new providers to fulfill responsibilities	There is a general lack of trust of new providers below the firewall line to fulfill role responsibilities, which hinders the ability to deliver strategic value and operational excellence across each LWDA. In several LWDAs, staff who previously worked in the CSP role were hired as Board Staff during realignment. During our review, we found that there were blurred lines in terms of roles and responsibilities above and below the “firewall line” due to a general underlying distrust of new providers’ ability to perform the activities previously performed by current Board Staff members. For example, a Board Staff member edited and updated Career Specialist case notes whenever they did not conform to standards. While some level of case management monitoring is expected, the CSP is expected to own the participant relationship, including case notes. This required additional time and resources for the Board Staff, undermined the contracted service provider, violated the firewall and eroded trust between the entities.	<p>Organizations have found that intentionally building high-performing teams (HPTs) is a powerful point of differentiation. HPTs avoid wasting time talking about the wrong issues and revisiting the same topics repeatedly because of lack of buy-in. HPTs also make higher-quality decisions and accomplish more in less time, with less distraction and frustration. Additionally, top performers rarely leave organizations where they are part of an HPT.</p> <p>We recommend the State provide LWDAs with HPT guidance and activities to build a strong foundation of trust among partners. This will enable stakeholders to bring their unique experiences, skills, backgrounds and perspectives to harness their collective potential. A foundation of trust among partners will enable them to focus on achieving LWDA goals, trusting each other to perform activities, engaging in healthy conflict, accepting accountability, and delivering quality results effectively and efficiently.</p> <p>Refer to Appendix C for an HPT framework and activities for LWDA stakeholders that can assist in building a strong foundation of trust.</p>

# Roles and responsibilities

	Summary of observations	Recommendations
Lack of trust of new providers to fulfill responsibilities	<p>There is a lack of understanding of role responsibilities for several key roles within the LWDA system, particularly by the CLEOs, Local Board members and Board Chairs. Although responsibilities are defined in WIOA regulation, Interlocal Agreements between the LEOs and LWDA bylaws, these stakeholders do not consistently have a comprehensive understanding of their responsibilities. As a result, role responsibilities are performed inconsistently across the LWDA system resulting in varying levels of engagement. This affects the ability for these leadership roles to establish, support and drive the strategic direction of the LWDA.</p> <p>Fiscal oversight of WIOA funds is a major responsibility of the CLEO; however, activities carried out to perform this responsibility vary across the LWDA system. Some CLEOs have formalized meetings to review budget and fiscal reports with the Fiscal Agent on an established cadence. Others are informed and provided with fiscal reports but do not have scheduled meetings with the Fiscal Agent. Some are minimally involved in oversight activities.</p> <p>Similarly, at times LWDBs rely on the Executive Director to drive strategic direction. Board Chairs understood their leadership responsibilities, but a few were not versed in detail of all the activities, programs and partners that support strategic outcomes. Board Chairs mentioned a reference guide that is easy to follow, defines responsibilities and activities in more detail, provides LWDA partner information and outlines State expectations would be beneficial for Board members.</p>	<p>We recommend the State provide CLEOs with a reference guide to clearly define responsibilities, reporting layers, oversight accountabilities and authority to support strategic decision-making. The reference guide should include recommended detailed activities and State expectations for the following key responsibilities:</p> <ul style="list-style-type: none"> <li>• Approval and oversight of LWDB budget and expenditures, including recommended level of review and cadence of review</li> <li>• Liability of WIOA funds</li> <li>• Appointment of Fiscal Agent, including expected communication</li> <li>• Oversight of the One-Stop delivery system, including performance measures to focus on</li> <li>• Appointment of members to the LWDB</li> <li>• Submission of Regional and Local Plan, including recommended input level and review process</li> </ul> <p>We recommend the State requests each LWDA to develop a reference guide that summarizes Board member responsibilities in a clear and concise format. This reference guide should include Board member responsibilities, activities and the position as it relates to the following:</p> <ul style="list-style-type: none"> <li>• Organizational structure of LWDA</li> <li>• Authority within LWDA</li> <li>• Management accountabilities</li> <li>• Performance management and leading practices</li> <li>• Communication framework and expectations</li> <li>• LWDA terms of reference</li> <li>• Committee mandates and responsibilities</li> <li>• Structure and process for annual individual and Board assessments</li> <li>• Workforce Development Board leading practices</li> <li>• Core program partner key activities</li> </ul>

## Roles and responsibilities

	Summary of observations	Recommendations
Overstepping responsibilities	During site visits, we identified several LWDA stakeholders that appeared to overstep role responsibilities, resulting in tension among Board Staff members and negatively affecting the effectiveness of LWDA operations. The Local Board appoints and selects an Executive Director who reports to the LWDB and is responsible to execute and carry out the LWDA strategy and directives. However, in some instances, the Executive Director reports to both the Local Board and to a superior within the contracted Administrative Entity (which may have responsibilities outside of WIOA). In this scenario, an Executive Director may feel obligated to report to both the Local Board and another boss, and the goals and objectives may not align. This may hamper the Executive Director's ability to provide timely and effective decision-making.	The WIOA Executive Director is a leadership role that must have the ability and authority to make timely and sound decisions for effective day-to-day operations. In some LWDA's, the administrative entity was a 501(c)(3) organization whose sole purpose was to administer WIOA programs. This eliminated the potential for the Executive Director to be inhibited by reporting to individuals outside the local board.

# Organizational structure

	Summary of observations	Recommendations
Administrative entity structure	All local areas have individuals that function to administer WIOA programs, serving as Staff to the Board and Fiscal agents. In some Local Areas, these individuals are part of a separate entity that was contracted by the Local Board, while in other areas the Local Board established a 501(c)(3) organization to carry out these responsibilities.	<p>We recommend that the State analyze the various organizational structures related to the LWDA administrative entities to determine whether the costs and benefits of one organizational structure are significant enough to align all LWDAs to the same structure.</p> <p>Refer to slide 14 for further discussion of advantages and disadvantages of each structure.</p>
One-Stop operator (OSO) and Career Service Provider (CSP)	<p>Most Local Areas procured One-Stop Operators and Career Service Providers within the same RFP. Seven out of nine LWDAs procured the same entity to serve as OSO and CSP.</p> <p>Generally, the requirements for OSO and CSP are outlined separately in the RFP, but they are not consistently fully differentiated within the contract. In instances when the same entity serves as OSO and CSP, the Local Area runs the risk of blurring the lines between the two, violating required segregation of duties.</p>	<p>As outlined in the procurement section of this report, OSO and CSP contracts should be specific to required activities of each function. Even if procuring the same entity, we recommend outlining specific responsibilities separately to clearly delineate segregation of duties.</p> <p>We recommend that the State analyze the benefits and drawbacks of procuring the same entity as OSO and CSP to determine if there is sufficient benefit to require separate entities to serve these roles.</p> <p>Refer to slide 15 for further discussion.</p>

## Organizational structure: contracted entity vs. 501(c)3

WIOA administrative duties, including supporting the Local Board and fiduciary responsibilities, may be outsourced to a third-party entity or handled by a 501(c)(3) organization established by the Local Board.

	Administrative services provided by contracted entity	Administrative services provided by a 501(c)3
	LWDBs have the authority to hire a director and other staff to assist in carrying out the functions of the Board. The Board may outsource to an administrative entity to staff the Local Board.	Local Boards can also register as a 501(c)(3) organization and hire direct employees to serve as Board Staff and Fiscal Agent.
Advantages	<ul style="list-style-type: none"> <li>Better access to resources (people, access to leading practices, community connections)</li> <li>Broader depth of experience to pull from</li> </ul>	<ul style="list-style-type: none"> <li>Board has full control of entity structure/makeup</li> <li>501(C)(3) organization staff solely focused on WIOA</li> <li>Better visibility into costs</li> <li>Easier to institute enhancements (i.e., reporting or operational) due to simplified structure</li> </ul>
Disadvantages	<ul style="list-style-type: none"> <li>Entity may manage contracts in addition to WIOA, taking focus away from WIOA</li> <li>Inability of the Board to influence administrative costs</li> <li>Lack of visibility into benefits of billed time</li> <li>Executive Directors report to multiple boards</li> <li>More difficult to institute enhancements such as improved reporting for the LWDB</li> </ul>	<ul style="list-style-type: none"> <li>More difficult to implement plan if turnover occurs</li> <li>Less outside experience and fewer connections to network with</li> <li>As a nonprofit entity with no cash flow, the Board is less likely to have a cash reserve balance available to pay contractors before reimbursement of funds from the State</li> </ul>

## Organizational structure: single entity vs. separate entities

In accordance with State guidelines for LWDB OSO and CSP procurement, the OSO and CSP can be competitively procured either as one RFP with one entity providing both services, or as separate RFPs to procure separate entities for the OSO and CSP.

	Separate entities – OSO and CSP	Single entity – OSO and CSP
	In two of the nine LWDAs, the OSO and CSP contracts are held by two separate entities. We determined that this provides the most optimal service delivery model, as the OSO can remain neutral in the oversight and coordination of other partners. This also allows the LWDA to contract the best provider for each role, as requirements and responsibilities of the OSO and CSP differ.	The remaining seven LWDAs have a single entity providing both OSO and CSP services, either under one contract or separate contracts. When LWDAs contracted a single service provider to be the OSO and CSP, we found that in some cases the division between the OSO and CSP function was not clearly defined in the RFP (or the final contract, as a result). We also noted that the services may not have been evaluated individually.
Advantages	<ul style="list-style-type: none"> <li>• Clear segregation of duties between the OSO and CSP helping to ensure no conflict exists (in reality or perception) regarding the firewall</li> <li>• Easier to manage and assess performance at the contracted provider level (OSO vs. CSP)</li> <li>• Broader depth of experience to pull in from two entities as opposed to just one</li> <li>• More available resources at two entities as opposed to just one (e.g., less risk of turnover)</li> </ul>	<ul style="list-style-type: none"> <li>• May be the most competitive bid for both the OSO and the CSP is from the same entity</li> <li>• Administratively simpler in certain areas such as vendor payments and the procurement process</li> </ul>
Disadvantages	<ul style="list-style-type: none"> <li>• More difficult to procure for, especially in rural areas</li> <li>• Risk of prohibiting the most competitive OSO and CSP from procuring due to them being the same entity</li> </ul>	<ul style="list-style-type: none"> <li>• Roles and responsibilities between the OSO and CSP can become commingled, making the entity more difficult to manage and ensuring no violations of the firewall are more difficult to prove</li> <li>• Relationships within the entity may make the OSO managing the CSP more challenging</li> </ul>

# Local Board performance management

At the Local Board level, visibility into the performance of their respective workforce area varies across the State. This variance depends on the engagement of the Board and Board Chair, quality of reports and dashboards, definition of performance management expectations and prioritization of performance management (due to other time-sensitive obligations). During our review, we found that LWDBs have been focused primarily on financial or regulatory metrics with limited linkage to strategic plan and current initiatives.

Many LWDAs recognize the need for improved LWDB reporting and performance management, but have been overwhelmed with the administrative requirements, deadlines, compliance matters, etc. that they have faced as a result of realignment, changes in regulation and turnover at the local/State level.

Summary of observations	Recommendations
Strategic, operational and financial performance metrics needed to support key decisions are either undefined or not aligned with the LWDA's strategic plan, threatening the LWDB's ability to manage performance. Many of the LWDAs' current reporting primarily consists of the WIOA-defined metrics, which do not provide sufficient insight on how an LWDA is operating and performing.	<p>LWDAs should establish a framework for performance management activities based on their goals outlined in their overall strategic plan.</p> <p>We recommend that LWDAs review their strategic objectives and develop a process to define key metrics that are aligned to those objectives. With input from key stakeholders, the LWDAs should identify key attributes for each of their strategic objectives, which should be measurable. LWDAs should then define associated metrics for each of the key attributes. If possible, targets should be set for each metric. This process should involve the LWDB, CLEO and key stakeholders from within the LWDA. We recommend identifying between 5 and 10 key metrics.</p> <p>Refer to Appendix D for an illustrative example of metrics tied to key strategic goals.</p>





# Local Board performance management

Summary of observations	Recommendations
<p>Based on interviews with stakeholders and our review of a sample of LWDB reports from the various LWDAs, the level of information and data reflected is not consistently at a level for optimal decision-making. Common themes include:</p> <ul style="list-style-type: none"> <li>Information provided is not comprehensive enough, requiring additional reports or analysis.</li> <li>Information provided is too comprehensive to identify the pertinent points to enable key decision-making. <ul style="list-style-type: none"> <li>Numerous key metrics are provided to the LWDB but do not always contain adequate interpretation of performance or suggest corrective action. A high volume of metrics may dilute the reader's attention, inhibiting a clear focus for Board members.</li> </ul> </li> <li>Data is not provided with appropriate context (i.e., whether it is intended to support decision-making or just information).</li> </ul> <p>During our review, several LWDAs acknowledged that there is typically minimal guidance provided to OSOs/CSPs to facilitate their preparation of performance reports.</p>	<p>To facilitate the efficient preparation of Board meetings and effective utilization of performance reports, LWDAs should develop a set of guidelines and an agreed reporting format with the objective of consistently capturing the level of information required by the LWDB to enable effective decision-making. These guidelines and reporting templates should be defined in the RFP and subsequently included in the service provider contract. Additionally, the LWDB should review these guidelines on a periodic basis to confirm they remain fit for purpose.</p> <p>We recommend utilizing a “dashboard” format to present this information to the LWDB. A dashboard is a report that visually assists the reader in analyzing key information. It should display the agreed-upon metrics in an appropriate format for accurate data interpretation (i.e., charts, graphs). The dashboard should clearly present the data in a manner that is logical to assist in tracking performance (i.e., comparison to prior month or year numbers). We recommend that LWDAs implement the following dashboard design leading practices:</p> <ul style="list-style-type: none"> <li>Arrange the dashboard in a way that is intuitive to the user. Be aware that it is natural for end users to read the dashboard left to right. Start with the highest level of detail and most important information in the upper-left quadrant of the report.</li> <li>Choose the right visualization. Data visualization tools help organize data in a manner that is easily interpreted and understood. It is important to choose a diagram that effectively communicates the message.</li> <li>Provide context. Avoid displaying “singular numbers” without any other context. Show degrees of change for quick comparisons.</li> </ul> <p>We recommend that the State evaluate the costs/benefits of implementing web-based dashboards or business intelligence software (i.e., Tableau).</p> <p>See Appendix E for data visualization and design leading-practice examples to be utilized in a dashboard.</p>

## Local Board performance management

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Summary of observations	Recommendations
<p>Due to ineffective (or undefined) internal controls around data integrity and a lack of VOS training, there were concerns that data reported to the LWDB may not provide a reliable or accurate portrayal of performance. We noted gaps in the process to collect, aggregate, clean, verify and structure data. These gaps present a risk of inaccurate and unreliable data used by the LWDB to drive strategic decisions.</p> <p>Please refer to the "Technology" slide for further details regarding these gaps.</p>	<p>LWDAs should prepare a reference document including the definition of all key performance indicators/key metrics. This document should also include the methods and frequency of data collection for each metric. The reference document should be available to all end users, and service providers should be trained on the data collection processes during onboarding.</p> <p>We recommend documenting Statewide data integrity protocols to maintain completeness, accuracy and accessibility of data.</p> <p>Please refer to the "Technology" slide for our recommendations related to VOS.</p>

# Monitoring

The monitoring procedures in place, as well as the documentation of a monitoring policy, vary in maturity across the nine LWDAs. Most of the policies in place are not sufficient and do not match the activities currently being performed.

	Summary of observations	Recommendations
Monitoring policies and procedures	<p>At the time of our review, several LWDAs were in the process of drafting or updating their local monitoring policies. The following opportunities for improvement were consistently noted across most LWDAs:</p> <ul style="list-style-type: none"> <li>• Policies lack customization to reflect the specific monitoring activities taking place by the LWDB. We noted a tendency to depend on the State to dictate how to perform monitoring at the LWDB level.</li> <li>• Most monitoring policies we reviewed are missing one or more of the following key elements: <ul style="list-style-type: none"> <li>• Who, by title/role, is responsible for the monitoring of each program activity.</li> <li>• The types of reports which should be prepared as a result of such monitoring and to whom reports will be distributed.</li> <li>• Scope and frequency of monitoring efforts for each program.</li> <li>• The methods used for program monitoring, compliance monitoring and financial monitoring.</li> <li>• Process for escalating, tracking and remediating issues found during monitoring.</li> <li>• Guidelines for follow-up monitoring, when necessary, to determine if corrective action has been completed</li> </ul> </li> </ul>	<p>We recommend the State update their monitoring policy to include minimum requirements for LWDAs. All LWDAs should develop, or update, a monitoring policy that outlines their LWDA monitoring processes and procedures. The LWDA should not solely rely on the State guidelines but should customize the policy to meet the specific needs of the LWDA. Policies should include detail over specific monitoring activities (who is being monitored), monitoring criteria (what is being monitored) and the monitoring schedule (when does monitoring occur).</p> <p>Monitoring performed should align with the policies in place to ensure expectations are clear to all parties involved. The monitoring policy should include how findings are tracked and resolved, including escalation procedures, which detail the protocol to be carried out for noncompliance with performance metrics. The LWDA should formalize the process for escalating, tracking and remediating issues identified during monitoring.</p> <p>We identified one LWDA demonstrating leading practices in their monitoring policies and procedures. We recommend that LWDAs leverage these documents as a template and reference guide when updating/drafting their monitoring policies. Refer to Appendix F for the LWDA leading-practice monitoring policy.</p>

# Monitoring

	Summary of observations	Recommendations
Roles and responsibilities	<p>Roles and responsibilities have changed significantly at all LWDAs due to realignment, the implementation of the One-Stop service delivery model, and the establishment of firewalls between administrative functions and service delivery functions. As a result, several key players within the LWDA have rotated in and out of different roles within the various functions of the workforce system. For example, several staff who previously worked in the CSP role were hired as Board Staff during the separation of duties and firewall implementation. This is in compliance with the firewall; however, we found during our review that this may cause lines to become blurred in terms of roles and responsibilities above and below the “firewall line.”</p> <p>The role of maintaining quality control at the AJCs is a function of the OSO and is not taking place consistently across the LWDAs. We determined that in some cases this was due to an inconsistent understanding of the OSO roles and responsibilities. In other cases, some LWDBs expressed a lack of confidence in their OSO’s performance.</p> <p>For example, there are two LWDAs whose monitoring procedures include reviewing 100% of participant files and enrollments. This level of monitoring is inefficient at the Board Staff level, as a role of the OSO is to manage the functionality of the service delivery system, which should include oversight of case management and participant data. The Board Staff may be performing this level of monitoring due to OSO performance not meeting their expectations. If this is the case, either the OSO is failing to fulfill their contract, or the contract does not clearly define this as one of the OSO’s responsibilities.</p>	<p>Roles and responsibilities should be clearly documented and understood among all employees to ensure monitoring activities are performed effectively and efficiently without redundancy.</p> <p>The roles, responsibilities and expectations of the provider should be clearly outlined in the RFP and transferred over to the contract for the winning bidder. Reviewing 100% of participant files and case notes should be a function of the OSO, which then leaves the Board Staff to oversee the OSO’s activities (including the OSO’s monitoring of participant files). This is typically achieved through a sampling approach.</p> <p>Please refer to the “Roles and Responsibilities” slide for further recommendations.</p>

# Procurement policies

The process to competitively procure OSOs and CSPs varies in maturity across the nine LWDBs. Some LWDBs have demonstrated leading practices, while others have less advanced processes in place. There are opportunities for continuous improvement across the State.

	Summary of observations	Recommendations
Procurement policies and procedures	<p>LWDBs (or their administrative entities) have generic purchasing/procurement policies, but many have not formally documented their competitive procurement process as it relates to the selection of OSOs and CSPs. There were LWDBs who demonstrated leading practices in their competitive procurement process, but overall the LWDBs lack a detailed procedural document that addresses the specific steps and protocols to follow for the procurement of OSO/CSP service providers.</p> <p>Without standard operating procedures (SOPs), LWDBs lack consistency in how processes and tasks are performed and are at a greater risk of miscommunication and failure to comply with State/Federal regulations. Due to the complexity of the WIOA requirements around OSO/CSP procurement and the degree of turnover within the LWDBs, thoroughly documented procedures are needed to address the risk to business continuity and maintain compliance.</p>	<p>We recommend that the State develop a procurement process leading-practices template or checklist with the minimum requirements listed in the recommendation below. Additionally, the State should collaborate across the nine LWDBs to share the template along with the leading practices listed in the following recommendation.</p> <p>We recommend that each LWDB leverage this template and coordination of leading practices to document their local procurement processes in a formal policy or procedural document. Documenting this process can help ensure consistency, allow for efficiencies to be gained each time the LWDB re-procures and ensure the process is maintained when there is turnover in personnel. At a minimum, the document should include:</p> <ul style="list-style-type: none"> <li>• The overall structure for how to conduct the process and key personnel to be involved.</li> <li>• The process for appointing/selecting evaluation committee members.</li> <li>• The process for evaluating and scoring bids.</li> <li>• The process for how a bid will be ultimately approved. Many LWDBs did not clearly define if the highest score ultimately won, if it was to be the evaluation committee's final decision or if it had to be brought to the full LWDB for approval.</li> </ul> <p>We recommend that technical assistance be provided to Board members or staff personnel that will be participating in any phase of the procurement process. This assistance is essential in making sure documented policies are correctly applied.</p> <p>We recommend that leading practices as identified through responses to recommendations be incorporated into the revised policies and procedures to ensure that all nine LWDBs are consistently applying leading practices. The State may consider making some of these leading practices (documented in the following procurement slides) mandatory to ensure a fair competitive bidding process.</p>

# Procurement process

The leading practices described below were used inconsistently across the LWDAs to bid out the OSO and CSP contracts. Implementing some or all of the below leading practices will increase the independence quality and competitiveness of the RFP process.

	Summary of observations	Recommendations
Evaluation committee	<p>Most LWDAs delegated the responsibility of reviewing and scoring RFP responses to an evaluation committee. In some cases, this was a one-time committee appointed during the RFP process. Other LWDAs delegated the responsibility to the LWDB's Executive Committee.</p> <p>Overall, we found that the LWDAs lacked a formal process to establish RFP evaluation committees. While most LWDAs did require committee members to sign conflict of interest statements prior to participating in the evaluation process, the requirements for evaluation committees did not typically extend beyond that. Specifically, only one of the nine LWDAs had a documented process for appointing and vetting evaluation committee members.</p> <p>Without the appropriate mix of expertise and experience among committee members, appropriate size and appropriate training, the evaluation committee may not be enabled to make a knowledgeable decision on which entity to award the OSO/CSP contracts to.</p>	<p>We recommend the State document and distribute leading practices related to RFP evaluation committees. This technical assistance should include a Statewide RFP evaluation committee checklist, including:</p> <ul style="list-style-type: none"><li>• Process for appointing/selecting members</li><li>• Minimum requirements for level of expertise represented</li><li>• Minimum number of members</li><li>• Training requirements for members</li></ul> <p>We recommend that each LWDA identify a member from the Board Staff to act as "RFP Coordinator." The RFP Coordinator would be responsible for formation of the evaluation committee and ensuring the committee includes appropriate representation.</p> <p>We also recommend that if an evaluation committee is used to review RFPs, that the final decision be brought before the full LWDB for approval.</p>

# Procurement process

	Summary of observations	Recommendations
Separation of OSO and CSP services	In accordance with State guidelines for LWDB OSO and CSP procurement, the OSO and CSP can be competitively procured either as one RFP with one entity providing both services, or as separate RFPs to procure separate entities for the OSO and CSP.	We recommend that LWDBs procure the OSO and CSP roles in two separate RFPs, or if through a single RFP, take appropriate measures to ensure that the RFP clearly defines the roles and responsibilities of each stand-alone service. This allows the LWDB to contract the best provider for each role, as requirements and responsibilities of the OSO and CSP differ. Even if one entity is procured for both roles, the process to ensure the firewall is maintained begins with how the RFP is written. There should be a clear differentiation between the OSO and CSP roles and responsibilities, as well as a requirement for bidders to include detailed information regarding the firewall between the two (if bidding on both services) to assure there are no real or perceived conflicts of interest. Whether the services are procured through a single RFP or separate RFPs, the process to evaluate and score responses should be separated. CSP and OSO criteria should be developed and evaluated independently.
Use of a third party	Four of the nine LWDBs hired an independent third party to conduct some (or all) activities for their most recent OSO/CSP procurement. These four LWDBs varied in the extent they utilized the third party, but each involved a combination of these activities: developing the procurement documents (RFP, scoresheets, etc.), distributing the RFP, collecting responses, removing references to an entity's name so that responses remained anonymous to scorers, vetting the responses for minimum requirements, reviewing and evaluating the proposals, making a recommendation to award, etc. There are many benefits to utilizing a third party if capable, including eliminating conflicts of interest within the LWDB for selecting an OSO or CSP provider.	While the cost is not always justifiable, LWDBs may choose to outsource the RFP process if they determine that their time will be more valuable spent elsewhere. Outsourcing the RFP process can reduce workload and operational costs.  While the use of a third party is a leading practice, the LWDB should still consider the level of involvement of the LWDB in the process. This is to ensure expectations, such as defining internal control requirements and other key performance indicators specific to the LWDB, are captured in the RFP. If using a third party, the LWDB should still provide input on how the RFP is to be written, who to distribute it to, if the third party will be the evaluation committee or if LWDB members will sit on this committee as well, etc.

# Procurement process

	Summary of observations	Recommendations
RFP scoring	<p>RFP scoresheets and scoring criteria were inconsistent across the LWDAs.</p> <p>The evaluation criteria utilized by LWDAs varied from simple titles to descriptive metrics with specific guidelines on how to score for a given area.</p> <p>The use of weighted scoring and providing a comments section varied greatly. The use of a comments section is important to provide an area for the scorer to document their scoring justification.</p>	<p>We recommend developing a standardized Statewide RFP evaluation document or scoresheet with the option to add additional RFP requirements based on the needs of the LWDA. One scoresheet should be developed for evaluating OSO providers and a separate scoresheet should be developed for evaluating CSP providers. The scoresheet should be made available as a resource to all LWDAs, and appropriate technical assistance specific to evaluating OSO and CSP proposals should be provided.</p> <p>We recommend leveraging input from the LWDAs in developing the scoresheet and utilizing the existing leading practices from some of the LWDAs:</p> <ul style="list-style-type: none"> <li>• Evaluation criteria should be specifically outlined in sufficient detail to enable consistent interpretation of responses.</li> <li>• Expectations and/or guidance should be provided for each criterion for what to look for in RFP responses.</li> <li>• Distinct weightings should be used. Each criterion should have a weight by which the score is multiplied to give it a total weighted score.</li> <li>• Free text fields should be included where RFP scorers can document their rationale for scores.</li> </ul> <p>Refer to Appendix G for an example of a leading-practice RFP scoresheet.</p>



# Procurement process

	Summary of observations	Recommendations
Independence	<p>The use of “blind scoring” to maintain independence while evaluating and scoring RFP responses was not consistent across the LWDAs. Blind scoring is the process by which evaluators rate the responses without specific knowledge of which entity is tied to which answer, reducing the risk of bias in the RFP process.</p> <p>Of the four LWDAs that utilized a third party to assist in procurement, two utilized the third party to also perform the evaluation/scoring of responses and the other two utilized the third party to “scrub” the proposals (blind scoring) before providing them to the LWDAs’ evaluation committee. These methodologies allowed for the RFP process to be sufficiently independent.</p> <p>Of the remaining five LWDAs, blind scoring was not utilized; therefore, the evaluation committee was aware of the entity who submitted the proposal. This created the potential for an evaluation committee member to adjust the score based on personal preference or hidden bias.</p>	<p>We recommend that each LWDA delegates an individual who is not involved in the evaluation process to collate all RFP responses and remove all references to an entity’s name so that responding entities remain anonymous to reviewers. This can be an individual at the local level or State level, or can be outsourced.</p>

## Communication and training

There are opportunities to optimize communication channels with State Board and Local Workforce Development Area stakeholders to increase collaboration, understanding of initiatives and policies, and to strengthen working relationships.

The value and purpose of the firewall within the LWDA system can be enhanced by providing more detailed communication with practical examples of what the firewall means for LWDA day-to-day operations.

There is an opportunity to enhance case management by providing technical assistance to career service providers to increase case note quality across the LWDA system.

	Summary of observations	Recommendations
TDLWD and LWDA communication	<p>Communication of new or updated policies was a consistent pain point for LWDAs.</p> <p>Based on interviews with the LWDAs, key policies were not consistently communicated to LWDAs in an optimal manner. Interviewees mentioned that when Statewide initiatives or new policies are announced, these are not always accompanied with the desired level of guidance on how to implement policy changes at the LWDA level.</p> <p>The Regional Director role is meant to represent the interest of the State in each local area. However, Regional Directors were not always equipped to handle questions from LWDAs regarding new policies, causing the Regional Director to inquire with the TDLWD.</p> <p>Per interviewees, the TDLWD often provides delayed responses when LWDA stakeholders reach out with inquiries. This situation negatively impacts the relationship with the TDLWD and generates confusion at the LWDA level on how to proceed and implement new policies.</p>	<p>When issuing new or updated policies that affect the LWDAs, the State should consider providing an overview of the policy changes to the Regional Directors in advance of issuance. The State should also designate one individual to handle Regional Director inquiries related to the specific policy. This will enable and position the Regional Director role for success as the State liaison.</p>

# Communication and training

	Summary of observations	Recommendations
Executive Director and Regional Director communication	<p>In many cases, the Regional Director and Executive Director work independently even when they are tasked with similar goals and duties. The level of communication and collaboration is inconsistent, and in some areas, shared duties such as performance, budgetary and service delivery oversight suffer due to suboptimal communication. There is opportunity to enhance their working relationship, collaboration and trust by increasing open two-way communication between these stakeholders.</p> <p>In certain areas, strong communication existed between the Executive Director and Regional Director. In these instances, it was clear that the individuals had mutual respect and trust, allowing them to work closely on a day-to-day basis. Generally, their work relationship was bolstered by regular scheduled meetings to update each other of their activities, and performance, budgetary and service delivery information was reviewed together. They attributed their success to their willingness to share information and keep each other informed of their activities.</p>	<p>We recommend the State provide a communication framework for the Regional Director and Executive Director outlining activities that enable effective two-way communication and a strong working relationship. It should include principles for effective communication, prioritized activities and level of communication to support shared responsibilities, and leading practices that support a culture of collaboration. This framework provides the Executive Director and Regional Director with an approach that can be tailored to their LWDA activities and encourage meaningful conversation that helps achieve the desired level of collaboration and communication. Please refer to the roles and responsibilities section for further discussion related to ongoing communication.</p>
Firewall	<p>Across most local areas, there is confusion over allowable and appropriate level of communication due to the firewall. At times, this hinders necessary communication as stakeholders are hesitant to further communicate to avoid crossing the firewall. Some believe the firewall does not allow any communication with contracted service providers. Other interviewees mentioned that there must be communication to effectively operate the LWDA system and did not feel that the firewall precluded such communication. There is an opportunity to enhance understanding of the firewall, particularly allowed and disallowed communications.</p>	<p>We recommend the State provide LWDAs further guidance to better understand the appearance of conflict of interest provision. The guidance should include practical examples of firewall allowed and disallowed communication topics and activities and should include all related parties (refer to Appendix H for an example). This will decrease confusion over firewall communications and allow for effective operations among key partners.</p>

## Communication and training

	Summary of observations	Recommendations
Marketing of AJC services	In the majority of LWDAs, the Business Services Team/Division, usually made up of several members to include the OSO, State Staff and Business Services employees, focus on outreach and marketing of AJC services. Although stakeholders utilize several marketing channels including social media, local media, Business Chambers, post-secondary institutions, local businesses and job fairs to market AJC services, they lack a tool to track and evaluate the effectiveness of outreach communications. There is an opportunity to coordinate, track and manage outreach communications by developing an outreach plan. Based on our interviews, the overall branding strategy for AJCs is inconsistent across regions. This may have a negative impact on customers that visit AJCs in different local areas.	<p>We recommend LWDAs make use of nontraditional channels such as sponsorship with community programs and faith-based organizations to increase awareness of the LWDA and AJCs. The LWDA should also use social media channels such as Facebook, Twitter and Instagram.</p> <p>We recommend the State develop a social media policy to ensure there is an integrated, holistic policy that fits with the State's overall communication and branding strategy. The social media policy should include what is and is not appropriate for AJC partners to post, internal review procedures before postings and approved ways of gathering AJC feedback from customers through social media tools. It should also provide guidelines to help AJC partners understand ways they use social media to help achieve LWDA goals and reflect organizational values and branding in their online postings and messages.</p>
Case management quality and consistency	All LWDAs had challenges with case management, particularly with case note quality. Although there is a strong focus in all LWDAs on improving the detail of case notes and pushing case managers to document their case notes immediately after participant contact, stakeholders mentioned there is lack of understanding regarding the appropriate level of detail for case notes as this is not defined consistently for all LWDAs.	Overall, the process for documenting case management is cumbersome due to the manual nature of establishing cases, entering case notes and the free text fields. Where there are some technology initiatives that could improve service, the State should consider developing a Customer Experience Strategy (see Appendix I for customer journey mapping and the components of a customer journey), focusing on customer onboarding, customer contact and customer exit. This client-centric view will allow the LWDAs to understand what is most important to participants, discern common pain points and develop procedures to allow for consistent delivery of services across various programs and local areas.

# Technology

The State faces technology limitations that lead to process inefficiencies in the workforce services system. There is an opportunity to improve the utilization of current systems through training, and to further leverage innovative technology across the State.

	Summary of observations	Recommendations
Utilization of VOS/Jobs4TN	<p>End users are not utilizing VOS in the most efficient and effective manner possible due to system limitations and insufficient understanding of the system. Additionally, some gaps exist between the functionalities available and the functionalities that are being utilized by end users. Specific examples of VOS functionalities that either are not being utilized efficiently or are not meeting end-user needs include:</p> <ul style="list-style-type: none"> <li>• Templates</li> <li>• Reporting capabilities</li> <li>• Workarounds/dual systems</li> </ul>	<p>While individuals stated that they had received training on VOS, overall, the training did not allow the end user to utilize the system more efficiently or to its full capabilities. We recommend providing end users with targeted, hands-on VOS training. To develop the training content, we recommend leveraging the knowledge of experienced VOS users, sharing leading practices across the LWDAs and utilizing training services provided by Geographic Solutions (VOS software provider). We recommend soliciting feedback from the LWDAs to determine what specific topics they would like to review and in what format training would be the most beneficial. This training can also be catered to the specific groups who use VOS (i.e., CSP, AJC Staff, Board Staff and OSO). Once more individuals at the LWDAs are confident in their VOS skills, additional training can be provided at the local level as needed. Two of the main areas that were expressed as a VOS training need were case note entry (and case note management from a CSP perspective) and reporting.</p>
	<p>Templates – Case notes are recorded in VOS by career services staff using an open textbox. Although VOS has the functionality for users to create and use templates for case noting, this is not widely used due to fear that the templates may lead to standard, repeated responses instead of customized case notes specific to the individual.</p>	<p>We recommend evaluating the use of standardized VOS templates across the State. The State should work with the LWDAs to coordinate on leading practices and case note requirements when developing these templates.</p>

# Technology

	Summary of observations	Recommendations
Utilization of VOS/Jobs4TN	Reporting capabilities – The reporting capabilities in VOS are considered cumbersome by several end users. The volume of reports in VOS makes it difficult to find a single report that contains the relevant data or desired view, requiring end users to manipulate data and components from several reports in order to manually develop custom reports and dashboards. The system does not have the capability to pull month-over-month reports. In order to analyze data over time, end users run a separate report for each month.	<p>We recommend developing a Statewide report “key” for VOS. While LWDAs may utilize various reports locally, this can be a “source of truth” for which reports the State utilizes and the process for generating those reports so the LWDAs can be better aligned with the State in terms of tracking their metrics using the same data, data sources and format.</p> <p>Consider the development and implementation of repeatable data analysis programs that can automatically extract, organize and present data. Consider the feasibility of implementing a reporting tool that utilizes VOS data. We recommend a reporting tool that has an automated data collection feature.</p> <p>Refer to the “Automation and Innovation” slides for examples of reporting automation use cases.</p>
	Workarounds/dual systems – Due to perceived or actual system limitations in VOS, there are some service providers that follow alternative processes to manage participant data outside of VOS to manage the risk of incomplete or inaccurate data entry. These alternative processes include using SharePoint or using an entirely separate case management system. Running dual systems in parallel is not a leading practice and often leads to inefficiencies in processing and increased cost, as well as an increased risk that the system of record, VOS, is not accurate. Additionally, some end users manually track and record data (such as referrals or co-enrollments) outside of VOS due to a lack of reliance or familiarity with the system’s capabilities to do this.	<p>We recommend identifying a “systems champion” (for VOS and Grants4TN) at the State level that can be used as a source for information and training for the end users. This individual would be responsible for managing the VOS training strategy going forward. Additionally, the systems champion should act as a liaison between the VOS end users and the State. This would include soliciting feedback from end users in order to understand necessary changes or improvements prior to rolling out an upgrade.</p>

# Technology

	Summary of observations	Recommendations
System integration	VOS does not have the budget/grant management capabilities needed by the LWDBs. Another system (Grants4TN) is used for these activities, and relies on the accurate entry of data from VOS. There is no systematic interface between these two systems, causing a large degree of manual reconciliation. Manual reconciliations are not only inefficient, but also expose the opportunity for user entry error, which is one root cause of the frequent discrepancies between the performance metrics reported by the State and the performance metrics tracked internally at the local level.	We recommend the State consider the feasibility of implementing integrations between Grants4TN and VOS to avoid duplicate data entry. This could be via system interfaces, data entry bots, optical character technology, matching technology or other means.  Refer to the “Automation and Innovation” slides for further discussion.
Social media	Many LWDBAs are in the early stages of embracing the use of social media to promote branding and awareness of the AJCs and the workforce services available. The use of social media can enable LWDBs to engage with participants and solicit direct feedback, which helps them to continuously improve their offerings and positioning. However, the State has failed to create and manage an appropriate social media strategy, including organization and service identity, citizen and stakeholder engagement, and timeliness of responses, threatening its ability to protect its image and reputation, provide accurate and timely information, and maintain regulatory compliance.	In addition to developing a uniform Statewide social media strategy, a social media policy should be in place to outline how the organization and its employees should conduct themselves online. Users of the social media platforms should receive appropriate training. We recommend that the social media strategy be owned by the State’s Business Services team.  Refer to Appendix J for an illustrative example of a social media policy.
Innovation	Case note quality has been a consistent focal point across local areas. There are several reasons for inconsistent case note quality, but many local areas highlighted the importance of attentive listening to customers. This required CSPs to enter case notes subsequent to customer interactions, which increases the risk of inaccuracies with data entry.  There is an opportunity to further leverage technology at the AJCs so that staff can more efficiently utilize their face time with participants and improve service delivery.	AJCs should explore the use of technology to improve the customer experience at the AJCs. For example:  Chat bots – For computer-savvy customers, initial data entry could be completed via self-service portals where chat bots are available to answer questions.  Audio note takers – This software would allow CSPs to revisit key portions of the conversation to ensure post-visit data entry is accurate.

## Automation and innovation

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Automation and digital innovation offer several potential benefits for Government and Public Sector (GPS) organizations, which extend beyond cost reduction to improved service quality and customer satisfaction, employee retention, demand management and accelerated transformation. We recommend that the State conduct a process assessment to determine which manual processes are most suitable for automation. We recommend starting with back-office activities instead of participant-facing processes.

There are a set of “key tells” that provide guidance on where automation will be a solution with strong capability to unlock value, such as:



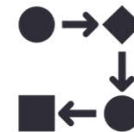
High levels of  
manual data  
capture and entry



High-volume,  
repetitive  
transactions



Interaction with  
multiple  
applications or  
systems



Multiple tasks to  
perform a process



Definable business  
rules and  
exceptions



## Automation and innovation

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As a result of our review, we have identified the following potential use cases for automation:

Process	Automation opportunity	Complexity
Reporting	<p>Schedule an existing report to automatically refresh and be delivered to specific places at a specific regular interval. Implementing report automation allows LWDAs to reduce time and resources typically spent consolidating data across sources, preparing/formatting reports and distributing that report to multiple stakeholders. Automating report generation increases accuracy of reports by eliminating issues due to manual intervention, like copy-and-paste errors.</p> <p>We recommend that the State identify key reports and develop standardized repeatable scripts that extract data from VOS and/or other systems and automatically analyze and present the data in a user-friendly format. Scheduled jobs could deliver this data to users on a defined frequency, or functionality could be developed to run canned reports at any point in time.</p>	Low
Document management Reviewing provider invoices/expenses	Digitize paper documents such as invoices or common intake forms using optical character recognition (OCR) technology. Converting paper documents into searchable PDFs could make the process of reviewing invoices more efficient, and allow Board staff to spend more time on strategic activities and less time on repetitive, time-consuming ones.	Medium

## Automation and innovation

Process(es)	Automation opportunity	Complexity
Invoice review	Develop an automated program that reviews invoices and identifies high-risk expenses for manual review. Invoices and expenses would have to be formatted consistently so that the program could easily analyze the expense data.	Low
Data reconciliation/ system integration	<p>Implement automated solutions to cleanse and reconcile data between systems. Automation can help by limiting the need for manual intervention or review. This can be achieved through a number of possible avenues:</p> <ul style="list-style-type: none"> <li>Automate the data reconciliation/manual review process by developing a repeatable program or bot that extracts data from multiple sources, feeds that data into a staging area, compares the data sets and identifies inconsistencies.</li> <li>Automate the duplicate data entry process by developing a repeatable program or bot that can copy data from one system to another.</li> </ul>	Medium
Communication Data capture	<p>Provide automated communication services such as live chat functions, chat bots or a combination of both. For example:</p> <ul style="list-style-type: none"> <li>Implement a live chat function on AJC websites, Jobs4TN or social media accounts. A live chat function would enable stakeholders (participants and employers) to interact online and on their phones and chat with case managers to help connect to the right services or partners.</li> <li>Implement an automated chat bot to streamline the common intake process and automatically record participant data in VOS.</li> </ul>	High

## Automation and innovation

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Process	Automation opportunity	Complexity
Case management/ customer service	<p>Case management automation tools can streamline the participant case file life cycle.</p> <ul style="list-style-type: none"><li>• Queues can automatically prioritize case files by creating lists from which specific case managers can jump in to solve certain types of cases.</li><li>• Assignment rules to automatically assign incoming cases to specific case managers so that the right people work on the right cases.</li><li>• Automatically send personalized email responses to customers based on each case's details.</li><li>• Escalation rules to automatically escalate cases to the right people when the cases aren't solved by a certain time.</li><li>• Interoperability workflows that will automatically identify when data entered for one participant qualifies them for multiple programs.</li></ul>	High – depends on the system limitations of VOS.

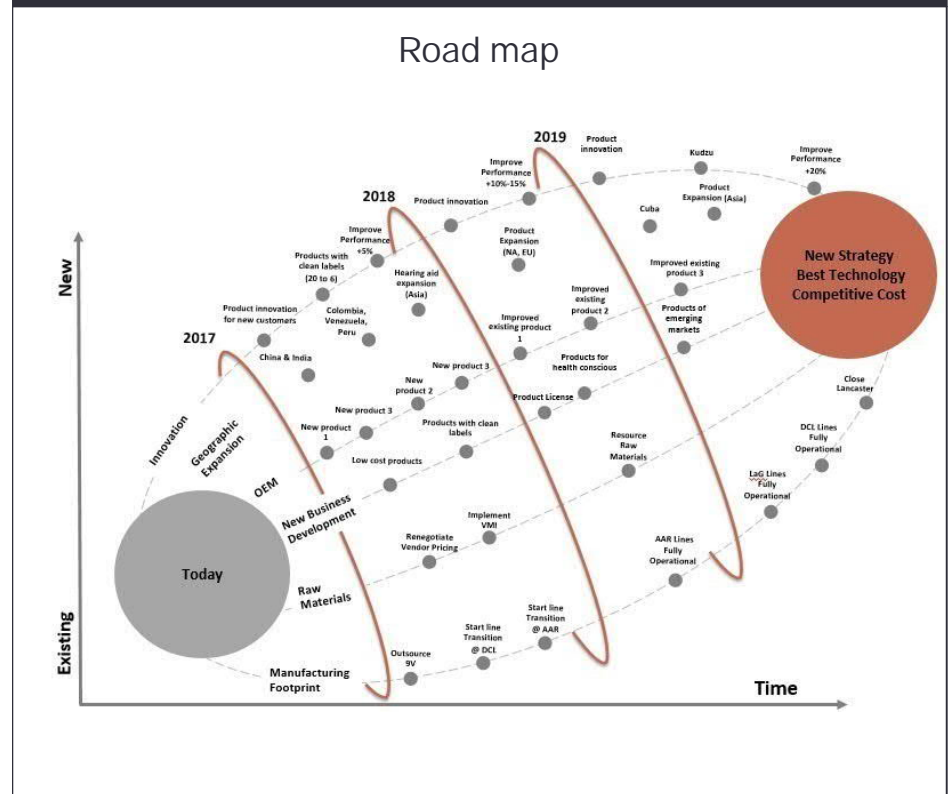
# Appendices

## Appendix A – Implementation road map (illustrative example)

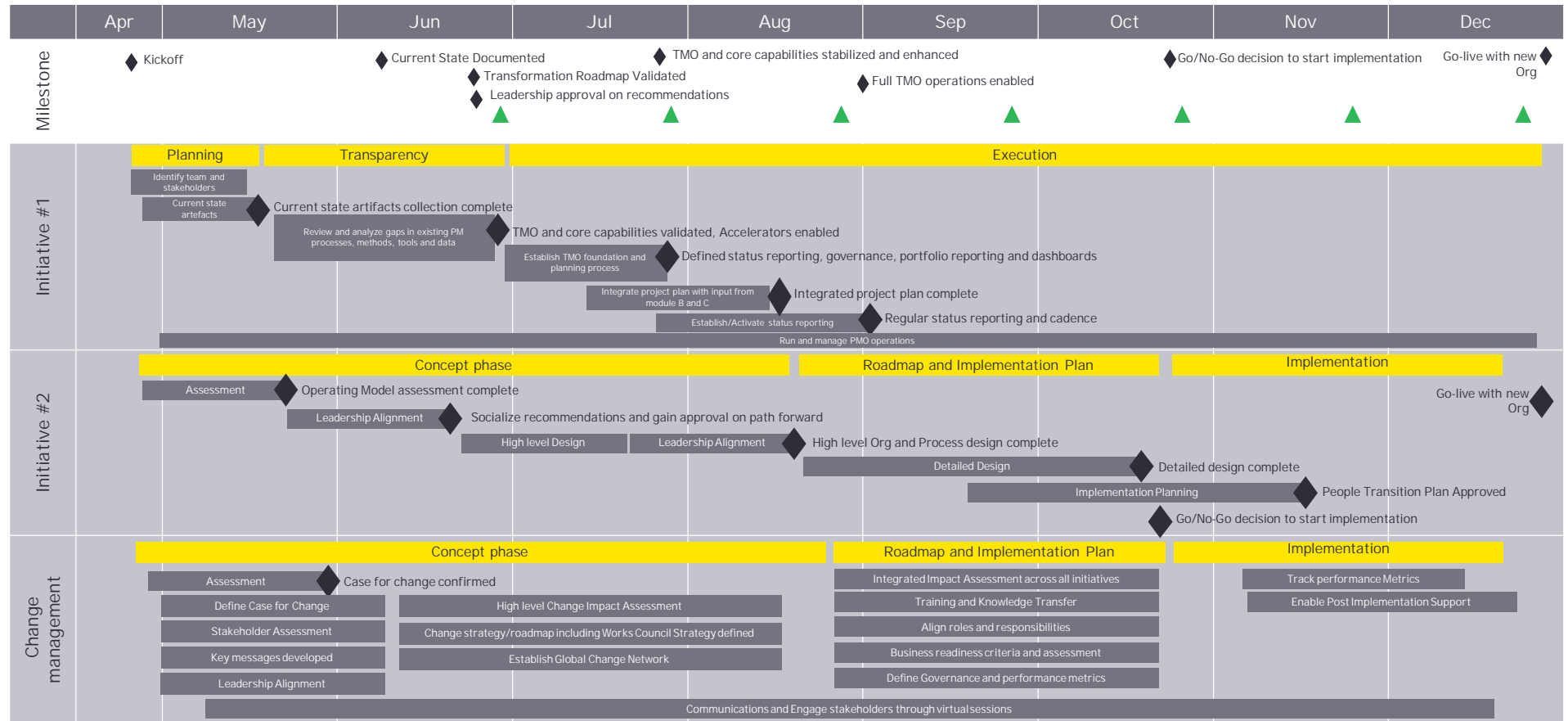
### Key activities

- Identify operating model changes and metrics required to execute the five-year plan
  - Business structure (corporate, BUs, regions and functions)
  - People, process and technology changes
  - Governance and decision-making
  - Performance management
  - KPIs to monitor progress
- Identify key resources (people, CapEx/OpEx, technology, etc.) to successfully execute the strategic plan
- Develop road map to implement strategic plan
  - Determine and detail critical interdependencies across initiatives
- Develop implementation plan to operationalize initiatives
  - Develop key milestones and gates to track the project and validate progress against plan
  - Clarify overall program and change management requirements to support implementation plan
- Identify changes required to strategic planning process

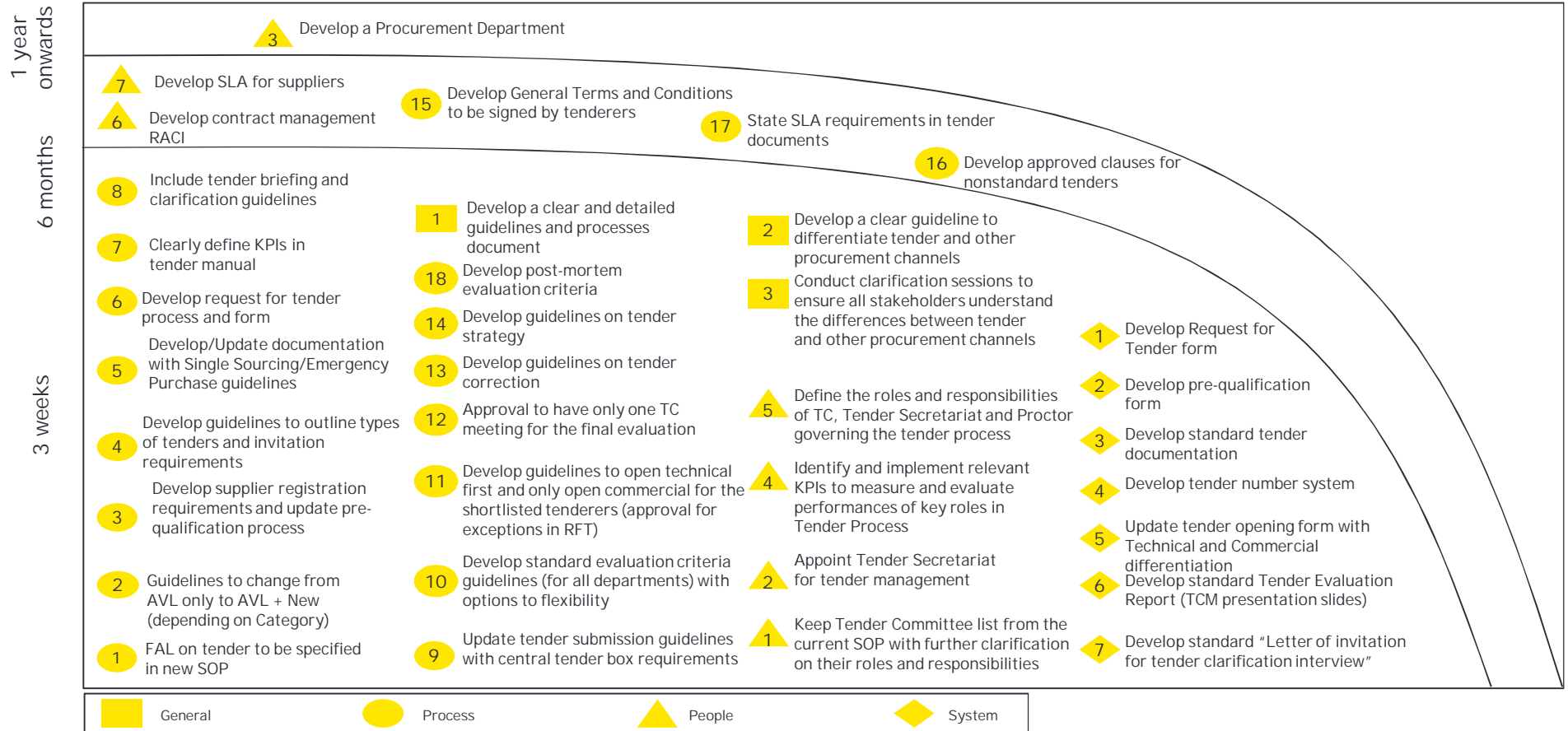
### Sample road map



# Appendix A – Implementation road map (illustrative example)



## Appendix A – Implementation road map: initiatives (illustrative example)



## Appendix B – Optimal RACI

R – Responsible, A – Accountable, C – Consulted, I – Informed

Activity	Sub-activity	State Workforce Board/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent	Board Staff/Executive Director	One-Stop Operator	AJC Service Providers	Comments
Vendor Due Diligence*	Develop procurement policies	C	C/I		A	C/I	R			<ul style="list-style-type: none"> <li>State Workforce Board/Central Office should be consulted as needed in regards to procurement policy. The SWDB provides guidance, policy directive and workforce system oversight.</li> <li>Opportunity to clarify accountability varies across LWDAs. There were multiple roles accountable for this activity.</li> </ul>
	Define procurement processes, tools and templates		I		C/I	C/I	A/R			<ul style="list-style-type: none"> <li>Opportunity to clarify responsibility varies across LWDAs between the Board Staff and Fiscal Agent. If shared responsibility, it must be clearly defined.</li> </ul>
	Perform sourcing risk management				A	R/I	R			<ul style="list-style-type: none"> <li>Opportunity to involve Fiscal Agent to review sourcing risk management from a financial perspective.</li> </ul>
	Action procurement policy noncompliance	I	I	I	R/A	R	R			<ul style="list-style-type: none"> <li>Opportunity to involve Fiscal Agent to review sourcing risk management from a financial perspective.</li> </ul>
Vendor Selection*	Prepare and conduct market assessment		I		A/I		R			
	Develop RFP to include KPIs and targets		C		A	R	R			<ul style="list-style-type: none"> <li>Opportunity to involve Fiscal Agent to provide fiscal requirements for RFP. Regional Director may be consulted on State procurement guidelines and performance targets.</li> </ul>
	Review and approve RFP	I	I	I	A/R					
	Distribute RFP		I	I	A		R			
	Prepare and conduct sourcing/bid event		I		A		R			
	Evaluate RFPs		I		A/R					
	Select Vendor		C/I	I	A/R		I			<ul style="list-style-type: none"> <li>The majority of Local Boards authorize a Selection/Executive Committee to review and score RFPs, and provide a recommendation for contract award. Two LWDAs have hired a third party to review and provide award recommendation.</li> </ul>

\*Refers to competitive RFP process



## Appendix B – Optimal RACI

R – Responsible, A – Accountable, C – Consulted, I – Informed

Activity	Sub-activity	State Workforce Board/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent	Board Staff/Executive Director	One-Stop Operator	AJC Service Providers	Comments
Contract Management	Contract creation and authorization		I	C/I	A/C/I	I	R/A	I	I	<ul style="list-style-type: none"> <li>LWDB 'A' for contract authorization; Board Staff 'A' for contract creation.</li> <li>CLEO to be consulted as needed before contract authorization.</li> </ul>
	Contract execution	I	I	I	C/I	C/I	R/A	C/I	C/I	
	Contract monitoring		I	I	C/I	C/I	R/A	R/A/C/I	R/A/C/I	<ul style="list-style-type: none"> <li>OSP and AJC Service Providers are accountable and responsible to monitor contract internally; consulted and informed during Board Staff contract monitoring activities.</li> <li>Opportunity to engage Regional Director as an informed stakeholder.</li> </ul>
	Contract compliance	I	I	I	A/C/I	C/I	R	R/A/C/I	R/A/C/I	<ul style="list-style-type: none"> <li>OSO and AJC Service Providers are accountable and responsible for contract compliance internally; consulted and informed during Board Staff contract compliance activities.</li> <li>Opportunity to engage Regional Director as an informed stakeholder.</li> </ul>
Operational Compliance and Monitoring	Determine operational KPIs	I	C/I	I	A		R	C/I	C/I	<ul style="list-style-type: none"> <li>Opportunity to engage Regional Director in operational compliance and monitoring activities. Most Regional Directors are not participating in these activities – a few are at most informed of activities by Board Staff.</li> <li>OSO and AJC Service Providers are responsible for monitoring and tracking performance internally as well as for participating in performance reviews with Board Staff.</li> </ul>
	Monitor and track performance against operational KPIs		R/C/I	I	A		R	R	R	
	Execute performance reviews		C/I		A	I	R	R	R	
	Report scorecards/performance results	I	C/I	I	A	I	R	I	I	
Regulatory Compliance and Monitoring	Develop LWDA Strategic Plan		R/C/I	C/I	A		R	I	I	<ul style="list-style-type: none"> <li>Participation in Plan development varies across LWDA for Regional Director and CLEO; opportunity to engage roles in plan development.</li> </ul>
	Communicate regulatory requirements and policy changes	A	A/R	I	I	I	I	I	I	<ul style="list-style-type: none"> <li>Regional Director accountable and responsible for communicating and interpreting policy changes with State guidance.</li> </ul>
	Monitor and track performance against negotiated performance measures		R/A/C/I	I	A	I	R	R	R	<ul style="list-style-type: none"> <li>Participation in Plan development varies across LWDA for Regional Director and CLEO; opportunity to further engage roles in plan development.</li> </ul>

\*Refers to competitive RFP process

## Appendix B – Optimal RACI

R – Responsible, A – Accountable, C – Consulted, I – Informed

Activity	Sub-activity	State Workforce Board/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent	Board Staff/Executive Director	One-Stop Operator	AJC Service Providers	Comments
Regulatory Compliance and Monitoring	Execute performance reviews		R/A /C/I	C/I	A	I	R	R	R	<ul style="list-style-type: none"> <li>Opportunity to engage Regional Director in Board Staff performance reviews. This is a shared accountability and responsibility; therefore, a defined process is needed for effective collaboration of responsible and accountable roles for this activity.</li> <li>OSO and AJC Service Providers are responsible for participating in performance reviews.</li> </ul>
	Report scorecards/performance results	I	C/I	I	A	I	R	I	I	
Financial Management	Develop LWDA Budget		C/I	I	A	R	R			<ul style="list-style-type: none"> <li>Opportunity to engage Regional Director in budget development.</li> <li>Opportunity to clarify responsibilities between Fiscal Agent and Board Staff for budget development.</li> </ul>
	Approve LWDA Budget		I	A	C/I	R	I			
	Develop IFA		I	I	I	R/A	C/I	C/I	C/I	
	Approve IFA		I	A				C/I	C/I	
	Prepare Expenditure Reports					R/A	I			OSO and AJC Service Providers to be consulted as needed.
	Review and Approve Expenditure Reports		I	A	I	I	I	C	C	OSO and AJC Service Providers to be consulted as needed before approving expenditure reports.
	Review OSO/CSP Invoices			C		R/A	I	C	C	<ul style="list-style-type: none"> <li>OSO and AJC Service Providers to be consulted as needed during invoice reviews.</li> <li>Opportunity to engage Regional Director in expenditure monitoring. This is a shared accountability and responsibility; therefore, a defined process is needed for effective collaboration of responsible and accountable roles for this activity.</li> </ul>
	Pay OSO/CSP Invoices and Expenses					R/A	I			
	Pay Operating Expenses					R/A	I			
	Submit Reimbursement Claims					R/A	I			
	Monitor Expenditures		R/A	A		R				

\*Refers to competitive RFP process

## Appendix C – High-performing teams framework

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Based on Five Dysfunctions of a Team by Patrick Lencioni, high-performing teams regularly exhibit five winning behaviors that drive consistent positive team experiences:



While the highest-performing teams produce outstanding results, they understand and invest in what it takes to achieve success – each HPT winning behavior builds on the one that comes before it. As part of an HPT:

1. You need trust to feel safe and supported to engage in healthy conflict.
2. You need to engage in healthy conflict to gain commitment, where each team member contributes and “weighs-in to buy-in.”
3. You need everyone’s commitment to create the peer pressure necessary to hold each other accountable.
4. You need accountability to achieve outstanding results.

# Appendix C – High-performing teams: how to built trust activity

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Trust is the foundation of a high-performing, cohesive team. Trust is the confidence among team members that their intentions are good, and that there is no reason to be protective or careful around the group.

Teams that build trust:	Teams with an absence of trust:
<ul style="list-style-type: none"><li>• Admit weaknesses and mistakes</li><li>• Ask for help without hesitation</li><li>• Are open and genuine with one another</li><li>• Appreciate and use one another’s skills and experiences</li></ul>	<ul style="list-style-type: none"><li>• Hide weaknesses from each other</li><li>• Hesitate to ask for help or provide constructive feedback</li><li>• Fail to recognize and use one another’s skills and experiences</li><li>• Resent each other; do not resolve differences</li></ul>



# Appendix C – High-performing teams: how to built trust activity

“No quality or characteristic is more important than trust.”  
Patrick Lencioni, author of The Five Dysfunctions of a Team

Trust is the glue that holds a team together. It is the foundation of high-performing teams. Stephen M.R. Covey, author of The Speed of Trust, created a trust formula: (Strategy x Execution) x Trust = Results. A team's results are dependent on trust. How do you build trust? One conversation and one act at a time.

- Build your personal “trust account” – think of a bank account.
- Every day, through your attitude and actions, you build trust (make deposits into your trust account) or you damage trust (make withdrawals from your trust account).
- Trust accounts are personal. What feels like a deposit for one person may not be a deposit for someone else.
- Withdrawals often have greater impact than deposits. Trust is easier to break than it is to build.
- Manage the gap. We tend to judge ourselves by our intentions. Others tend to judge us by the actual direct experience that they have with us. Sometimes there is a gap between our intentions and how people actually experience us. Perception can disillusion intention every time.

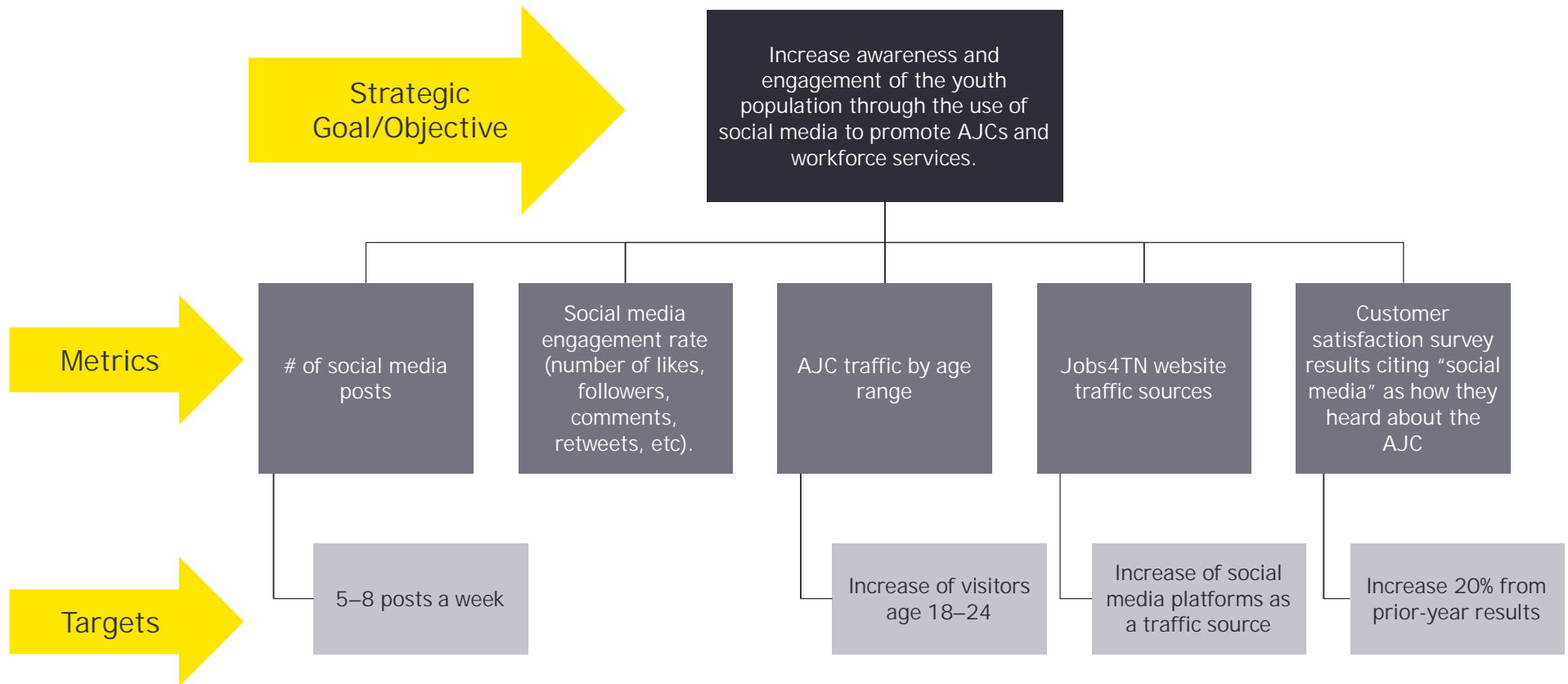
Think about your relationships with your team. How have you built trust? How have you damaged trust? Use the template below to capture your reflections and strengthen your relationships.

Trust builders	Things that damage trust

- Team trust builders: personal history exercise (Recommended time per person when sharing: 3-4 minutes maximum)  
Ask each of your team members to share their responses to the following questions as an exercise in building trust.
  - Where did you grow up?
  - How many kids are in your family?
  - What was the most difficult challenge of your childhood? What was the gift that came from this challenge?



## Appendix D – Example of metrics tied to key strategic goals (illustrative example)



\* For illustrative purposes only.

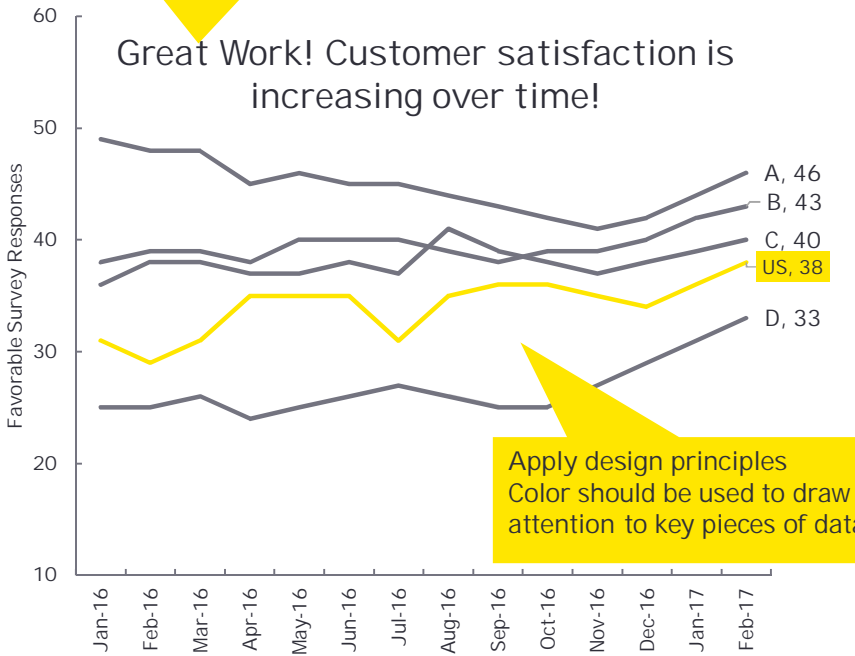
# Appendix E – Data visualization leading practices



# Appendix E – Data visualization leading practices

Tell a story  
Using the same data set but framing in a way that adds emphasis and provides the audience with meaningful insights.

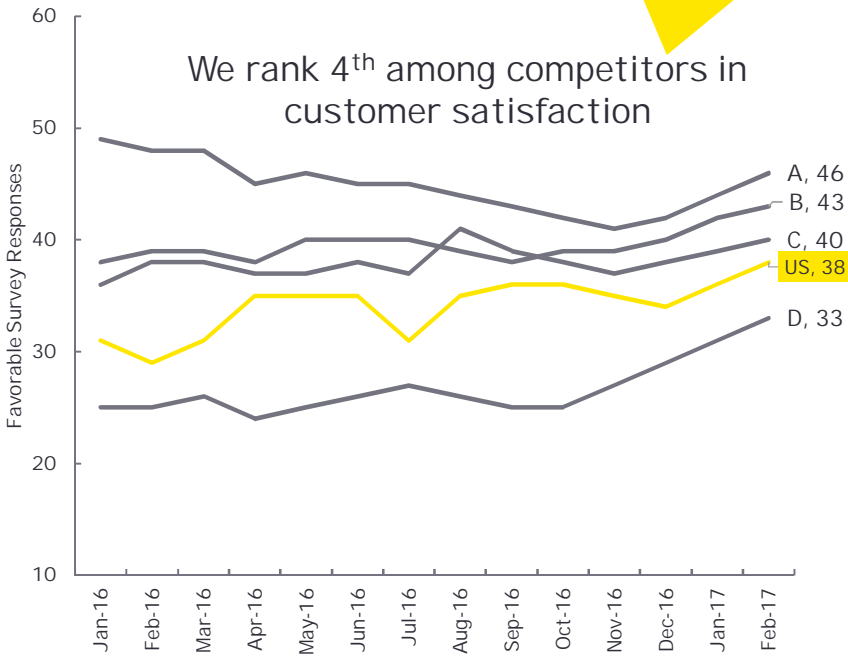
Customer Satisfaction Over Time



Apply design principles  
Color should be used to draw attention to key pieces of data

Tell a different story  
Using the same data set but framing in a way that adds emphasis and provides the audience with meaningful insights.

Customer Satisfaction Over Time





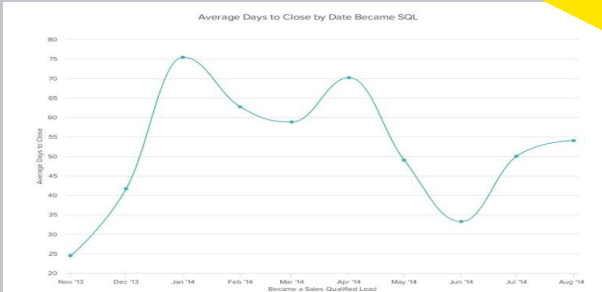
# Appendix E – Data visualization leading practices

## Comparison



Arrange the dashboard in a way that is intuitive to the user  
It is helpful to divide the dashboard into these sections

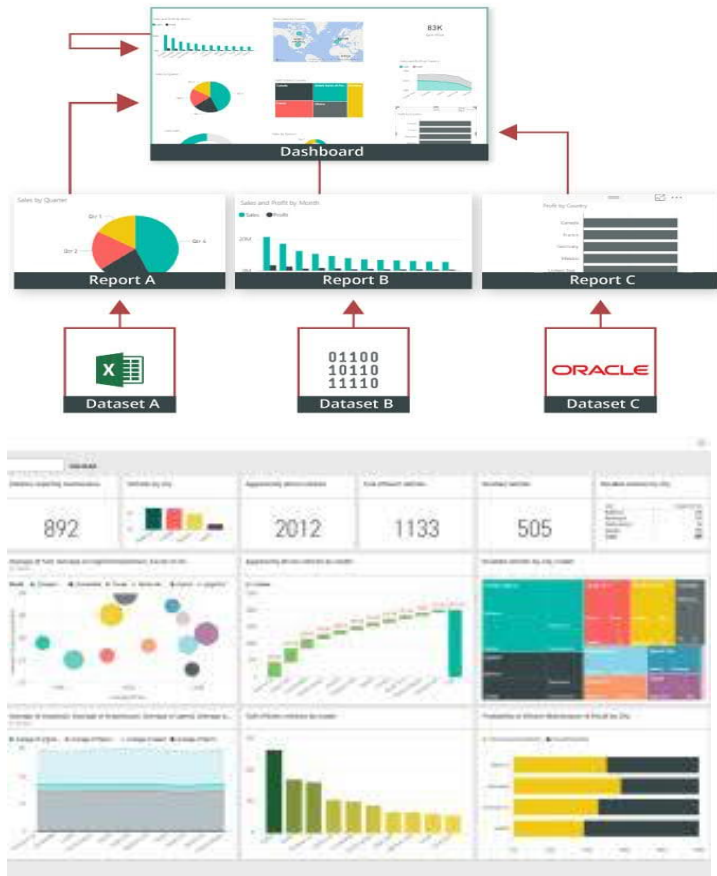
## Trends (time series)



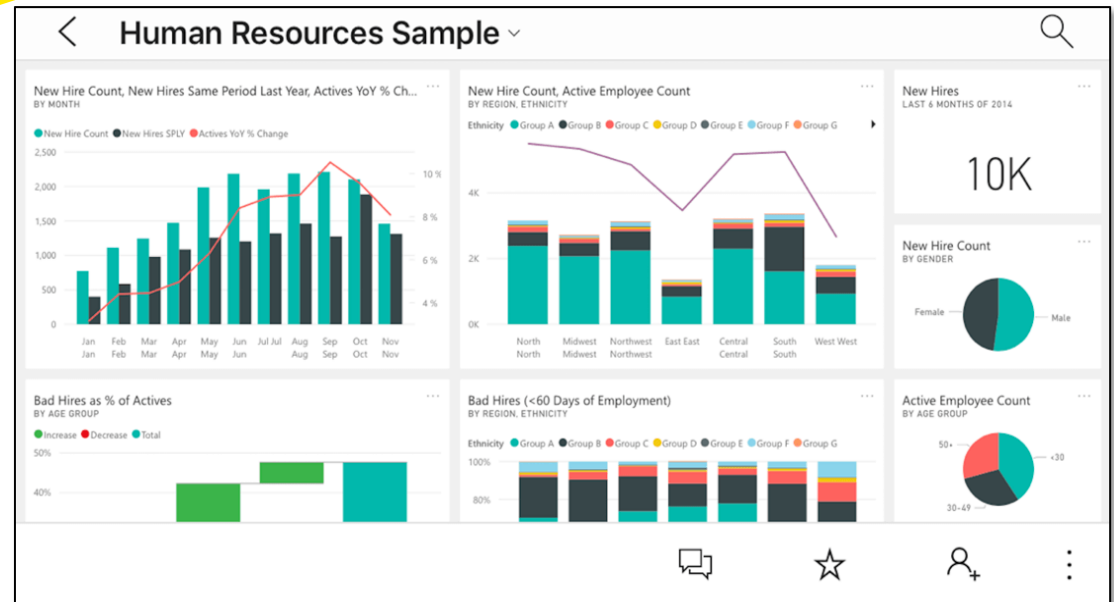
Choose the right visualization  
Choose a diagram that effectively helps you communicate your message

Title		Logo/ metadata
Diagrams		Filter/ parameters
Detailed data		

## Appendix E – Data visualization leading practices



There are many Data Visualization and Business Intelligence tools that convert data from different data sources to interactive dashboards and reports. Examples include Microsoft Power BI and Tableau



## Appendix F – Monitoring policy leading-practice example

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The monitoring policy example will be included as a separate attachment to this report.

# Appendix G – RFP scoresheet/evaluation criteria

\* The following criteria and examples are for illustrative purposes only. The scoresheet and related criteria should be defined by the State.

Each category is expanded beyond the title to define specifics of how this objective should be met.

Weightings are defined. i.e., for a 15 point category, it is further broken down into defined ranges. This way, the scorer has guidance when determining where within a range the score should fall.

Distinct weightings are used. Each category is evaluated for importance and weights are distributed accordingly. The criteria under each category are averaged to give the total weighted score for that category.

Free text fields are included for each individual criteria as well as additional space for comment on the approval overall. This provides the scorer to document their scoring justification and draw attention to specific pieces of the proposal.

One-Stop Operator Scoresheet		Missing / Non-Response				Poor				Adequate				Score Average	
Evaluator:		No responses for a given element or topic.				Responses in limited in scope or quality, does not provide sufficient content to fully understand the proposed plan or element, does not show a full understanding of the concept/topic, or does not show evidence that the goal/description can be achieved.				For scores within this range, proposal includes sufficient information on the question/topic to justify a quality program or initiative. Descriptions are detailed. Evidence is provided to support responses. Program model is realistic and achievable.				SCORE AVERAGE	
Customer / Scoring Criteria		Up to 10 Points may be deducted if the proposal submitted does not follow the prescribed format or if documents are not satisfactorily completed.				Forms are not satisfactorily completed.				Yes Or No					
Proposal Assembly and Attachments / Application Checklist: The following elements were present and complete. Check box to the right if item is present or complete.															
Experience with oversight of the program															
Developed a plan for partner integration with...															
Developed strategies for outreach and enrollment															
Provided a plan/method for community and business outreach, or HR (if applicable)															
Described the full menu of services for employers and jobs															
Explained how the organization will measure customer satisfaction															
Programs/Program Outcomes															
Bidder provided a proposed program design model															
Proposed outcomes are relevant to the mission and objectives of One-Stop															
Bidder has detailed a service delivery model that correlates to the proposed program															
Narrative clearly demonstrates how program activities will lead to proposed outcomes															
Technology, Data, and Reporting															
Bidder described existing data and reporting system process															
Bidder described how they will track and evaluate each specific performance goal															
Bidder described technological needs in order to assume operation															
Bidder demonstrated an ability to ensure and maintain data integrity															
Financial/Fiscal Accountability															
Bidder has financial and administrative experience in managing multiple organizations															
Bidder provided documents establishing financial history															
Bidder is up to date on taxes															
Bidder provided evidence that acceptable accounting systems are in place															
Bidder provided a proposed budget and narrative, which may include personnel costs, operational expenses, direct expenses, and other estimated costs															
Bidder's budget is adequate for the scope of work presented in the RFP															
TOTAL POINTS		100 Points													
Additional Comments on Proposal:															

# Appendix H – Firewall guidance

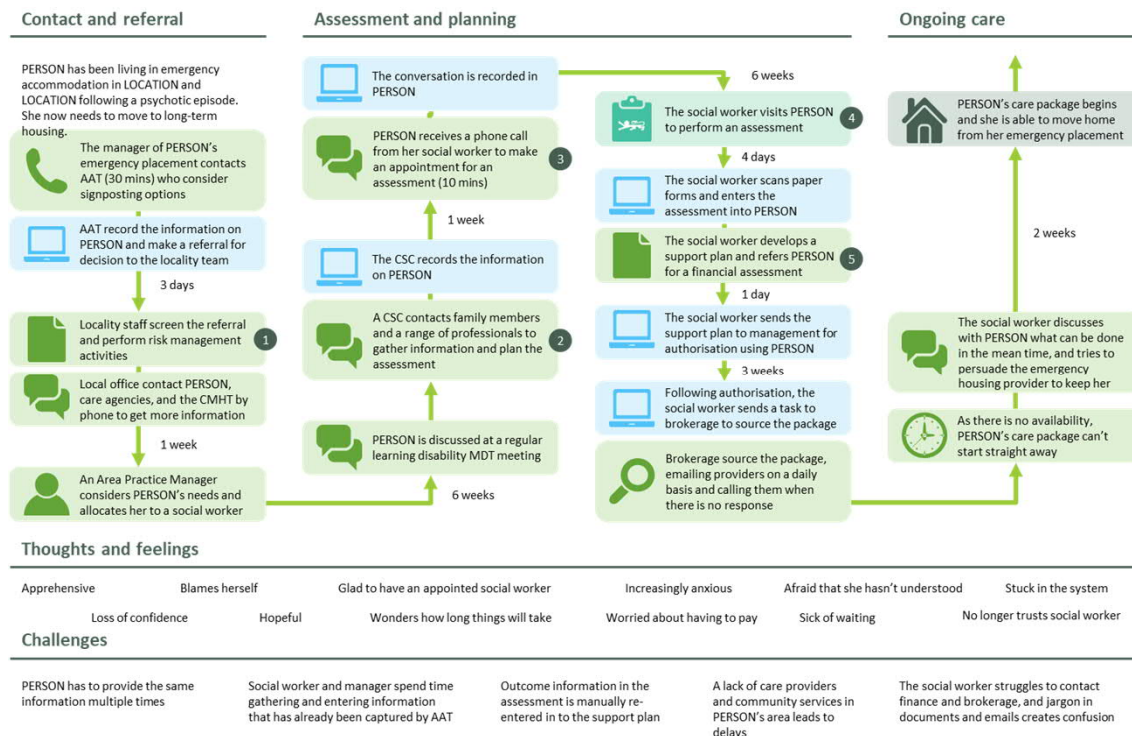
For illustrative purposes only. This list is not intended to be all-encompassing. This guidance should be expanded upon to provide detailed examples and include all parties related to and affected by the firewall.

	CSP	OSO	Board Staff
Entry of participant data in VOS	Allowed	Not allowed	Not allowed
Make AJC staffing decisions	Not allowed	Allowed	Not allowed
Provide AJC reports to the Board	Not allowed	Allowed	Not allowed
Develop Local Plan	Not allowed	Not allowed	Allowed

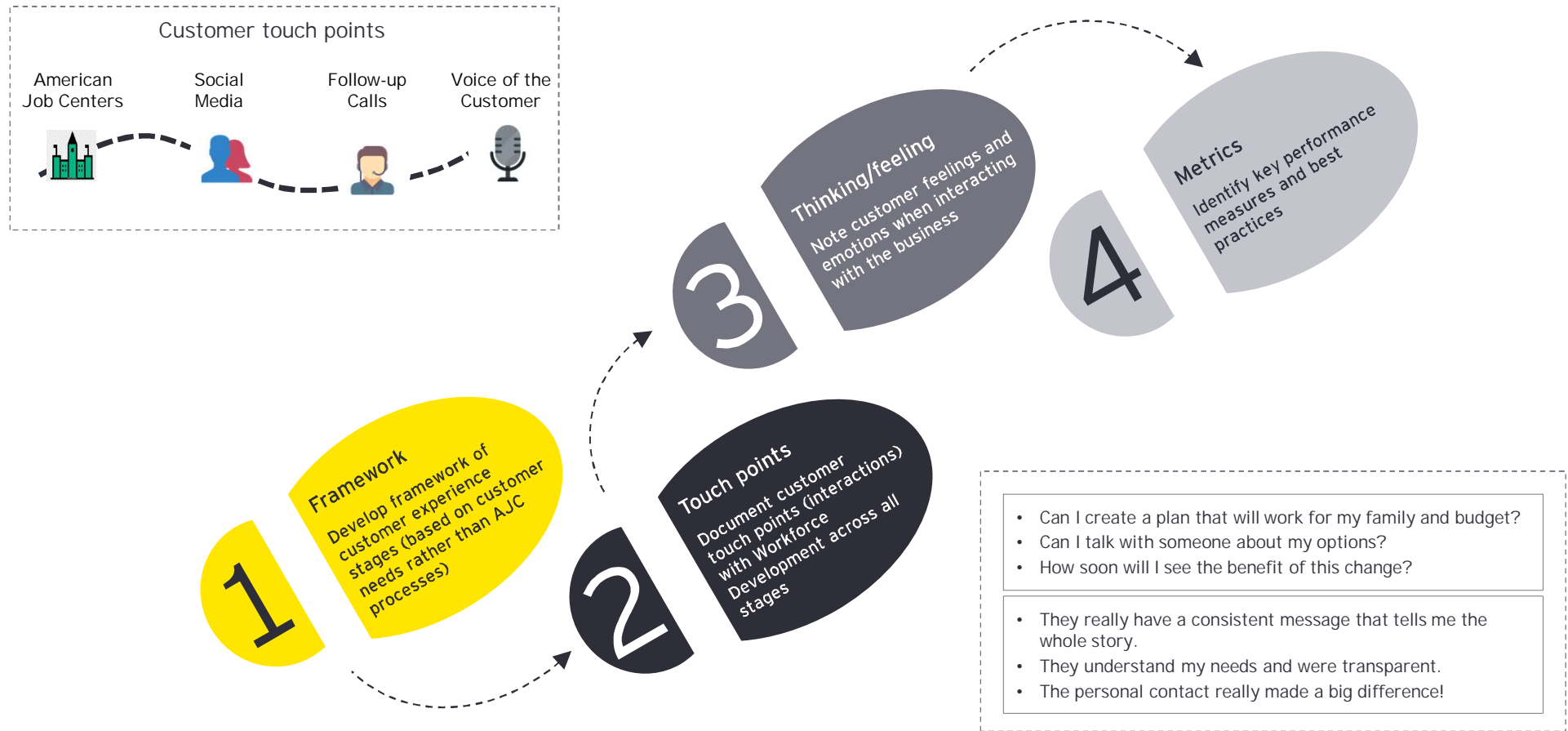


## Appendix I – Customer journey mapping (illustrative example)

The illustrative customer journey below allows the department to better understand successes and challenges from the customer point of view. By embarking on a similar exercise, LWDAs could prioritize improvements/changes to the American Job Centers that most impact those they serve.



## Appendix I – Components of a customer journey from an outside-in perspective



## Appendix J – Social media policy (illustrative example)

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### Purpose

This standard is designed to establish minimum requirements for the management of social media platforms at the COMPANY X, as well as the COMPANY X's overall social media presence. It seeks to ensure that employees who use social media in an official capacity and on behalf of the COMPANY X do so in such a way that the COMPANY X's brand, reputation and mission are upheld and promoted, while adhering to any legal requirements. This standard defines the employee's responsibility to the COMPANY X and describes the use and management of social media for the COMPANY X.

### Scope

This standard applies to all employees in Strategic Communications who manage and monitor social media accounts and platforms on behalf of the COMPANY X. It includes any other authorized stakeholders who may make use of social media platforms for the COMPANY X, as well as all employees in operating units and support functions who have been granted explicit authorization to manage, monitor, post content or otherwise make use of social media in an official capacity on behalf of the COMPANY X.

This standard does not cover the use of social media in a personal capacity; that is covered in the COMPANY X Social Media Usage Standard.

This standard also excludes the general use of the Internet and email or the technical equipment associated with the use thereof. Other reference documents related to these topics are listed in Section 7 of this standard.

### Objective

The key objectives of this standard are:

- To establish acceptable usage expectations of COMPANY X employees who use social media in an official capacity on behalf of the COMPANY X
- To describe the social media response assessment process that needs to be followed when responding to social media posts in an official capacity
- To establish roles and responsibilities for the management of social media at the COMPANY X



## Appendix J – Social media policy (illustrative example)

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### Compliance

The COMPANY X expects all Strategic Communications employees and any other employees or third parties who have been authorized to use social media in an official capacity to comply with this Social Media Management Standard, and supporting standards, processes and procedures. Failure and/or refusal to abide by this standard could be deemed as misconduct, and may result in an investigation and/or disciplinary action against an employee, grounds for termination of a contract or refusal by the COMPANY X to enter into a contract. It may also result in legal action against employees and any other applicable third party. A claim of ignorance as to the existence and/or application of this standard shall not be grounds for justification of noncompliance.

Non-adherence to this standard must be promptly reported to COMPANY X Strategic Communications, who must initiate an investigation into any potential contravention. COMPANY X Strategic Communications must inform other offices, such as the Information Security and Privacy Offices, should the non-adherence involve their area of responsibility.

If any provision of this standard is rendered invalid under law, such provision must be deemed modified or omitted to the extent necessary, and the remainder of this standard must continue in full force and effect.

### Roles and responsibilities

The following roles and responsibilities are required for this standard. The roles defined below may be fulfilled by existing and/or new jobs.

- Group executive: strategic alliances and communications
  - Ownership and overall oversight of this standard
  - Accountability for stakeholder engagement and new business development insofar as it is related to, or makes use of, social media
- Group manager: strategic communications
  - Maintenance and updating of this standard
  - Addressing any escalated queries, incidents or events related to social media
- Media manager
  - Content management planning
  - May authorize employees or other users to act in an official capacity on social media platforms (to be done in writing)
  - Verify facts and accuracy of content
  - First point of contact for all media-related queries (including the press, reporters and journalists or other traditional media stakeholders)

## Appendix J – Social media policy (illustrative example)

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### Social media management statements

The statements in the sections which follow provide the minimum standards which need to be adhered to by all employees when using social media in an official capacity on behalf of the COMPANY X.

This includes use from official COMPANY X social media accounts.

- COMPANY X Conditions of Service
  - COMPANY X employees are expected to conduct themselves in accordance with COMPANY X Conditions of Service, Code of Ethics, as well as all COMPANY X policies and standards. These requirements extend to the use of social media while at the COMPANY X.
  - If employee behavior on social media amounts to misconduct, is illegal, or results in breaches of the COMPANY X Conditions of Service or any policy, standard or code, then disciplinary or legal action may be taken against the employee.
  - Such disciplinary action may be taken against employees even in the event that they make use of non-COMPANY X social media account(s) from their non-COMPANY X device(s) outside of standard working hours.
  - COMPANY X Strategic Communications will be responsible for monitoring the usage of social media on behalf of the COMPANY X. Should it be discovered that an employee is using an official COMPANY X social media account or their own personal social media account(s) inappropriately and in a way that does not conform with this standard or with the COMPANY X Social Media Usage Standard, COMPANY X Strategic Communications will institute the necessary investigation into the matter and, if necessary, take disciplinary or legal action in line with the COMPANY X Conditions of Service, Code of Ethics and other policies.
- Responsibility to the COMPANY X
  - Employees have a responsibility to protect the COMPANY X's reputation and therefore must not do or say anything on social media which could damage its reputation.
  - Employee posts regarding the COMPANY X must be factually correct.
  - When using the COMPANY X's social media platforms and accounts in an official capacity, employees must respect and follow the COMPANY X branding guidelines, as well as any trademarks and copyrights at all times. All posts and content must be expressed in keeping with the COMPANY X's brand tone and language, per COMPANY X Brand and Media and Communications Policies.
  - Employees who have, or may be reasonably perceived to have, a conflict of interest with any organization, product or service that is mentioned on an official COMPANY X social media channel should declare such an interest to the COMPANY X Strategic Communications team.

## Appendix J – Social media policy (illustrative example)



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